CHAPTER 3

CHRO-MOD FORMS LIST

Module 1: **Binary & Ternary Forms**

1. J. S. Bach -- French Suite in d minor, Sarabande, andantino
2. J. S. Bach -- English Suite No. 2 in a minor, Bourée II
3. Anonymous (12th century) -- virelai, "C'est la fin"
4. Frederic Chopin -- Mazurka in f minor, Op. 63, No. 2, Lento

Module 2: **Minuet & Trio; Sonata Form; Rondo Form; Variation Form**

5. Ludwig van Beethoven -- Piano Sonata in c# minor, Op. 27, No. 2, Mvt. II
6. L. v. Beethoven -- Piano Sonata in f minor, Op. 2, No. 1, Mvt. I
7. Johannes Brahms -- German Requiem, IV. "*How Lovely is Thy Dwelling*"
8. Wolfgang A. Mozart -- Piano Concerto No. 27 in Bb Major, K. 595, Mvt. I
9. W. A. Mozart -- Piano Concerto No. 27 in Bb Major, K. 595, Mvt. III
10. J. S. Bach -- Passacaglia in c minor [from Passacaglia and Fugue]
11. W. A. Mozart -- Horn Concerto No. 3 in Eb Major, K. 447, Mvt. III

THE CONCEPT OF FORM

The term *form* is used in several different senses. When used in connection with ***binary, ternary*** or ***rondo form,*** it refers chiefly to the number of segments. The words ***sonata form*** [*sonata-allegro form*] suggests, instead, the size of the sections and the complexity of their interrelationships. In speaking of ***minuet, gigue, bourée*** and other ***dance forms,*** one has in mind the meter, tempo and rhythmic characteristics which identify the particular dance.

Used in the aesthetic sense, *form* means that a piece is ***organized***; i.e. that it consists of elements functioning like those of a living organism.

Without organization music would be an amorphous mass, as unintelligible as an essay without punctuation, or as disconnected as a conversation which leaps purposelessly from one subject to another.

The chief requirements for the creation of a comprehensible form are ***logic*** and ***coherence.*** The presentation, development and interconnection of ideas must be based on relationship. Ideas must be differentiated according to their importance and function.

Moreover, **one can comprehend only what one can keep in mind.** A person's mental limitations prevent him/her from grasping anything which is too lengthy. Thus appropriate subdivision facilitates understanding and determines the *form*..

The size/length and number of sections does not always depend on the overall length of a piece. Generally, the longer the piece, the greater the number of sections. But sometimes a short piece may have the same number of sections as a longer one, just as a child has the same number of limbs and generally the same physical form as a 25-year-old.

A composer does not, of course, add bit by bit, as a child does in building with wooden blocks. He/she may conceive an entire composition as a spontaneous vision. Then he/she proceeds, like Michelangelo who chiseled his *Moses* out of the marble without sketches, complete in every detail, thus directly *forming* his material.

No beginner is capable of envisaging a composition in its entirety; hence, the student must proceed gradually, from the simpler to the more complex. Simplified practice-forms, which do not always correspond to art forms, help the student to acquire the sense of form and a knowledge of the essentials of construction. It will be useful to start by building musical blocks and connecting them coherently/intelligently.

These musical blocks (***phrases, periods, motives,*** *etc.*) will provide the material for building larger units of various kinds, according to the requirements of the longer forms. Thus the demands of logic, coherence and comprehensibility can be fulfilled, in relation to the need for **contrast, variety,** and **continuity** of presentation.

or lower pitch is called *transposition*.

When we transpose a piece we shift it to another key. The level of pitch and the keynote are different, as are the number of sharps or flats. But the melody line remains the same because the pattern of its whole and half steps has been retained in the new key as in the old. That is why the same song can be published in various keys for soprano, alto, tenor, and bass.

We have all transposed melodies without being aware of it. For example, a group of children will begin a song from a certain note. If the melody moves too high or too low for comfort, their teacher will stop them and have them begin again from another tone. On an instrument, transposing is a more complicated matter. The player must adjust his fingers to another arrangement of sharps or flats. If he is a pianist or organist he must shift not only the melody but the harmonies as well. The ability to transpose a piece at sight is a skill that musicians regard with respect. It is a necessity for professional accompanists, who are constantly required to transpose songs to higher or lower keys to suit the range of singers.

Modulation

If a piece of music can be played in one key as in another, why not put all music in the key of C and be done with it? Because the contrast between keys and the movement from one key to another is an essential element of musical structure. We have seen that the tones of the key form a closed circle of "seven out of twelve" that imparts coherence and focus to the music. But the circle may be opened up, in which case we are shifted—either gently or abruptly—to another area centering about another keynote. Such a change gives us a heightened sense of activity. It is an expressive gesture of prime importance.

The act of passing from one key to another is known as *modulation*. There is no way to describe in words something that can be experienced only in the domain of sound. Suffice it to say that the composer has at his disposal a number of ways of modulating; therewith he "lifts" the listener from one tonal area to another.

The twelve major and twelve minor keys of the classical harmonic system may be compared to so many rooms in a house, with the modulations equivalent to corridors leading from one to the next. The "rooms" were arranged in ascending order of sharps and flats: C major with none, G major with one sharp, D major with two, A major with three, and so on. The eighteenth-century composer firmly established the home key, then embarked on a leisurely journey to the next related key. There resulted a spaciousness of structure that was the musical coun-

terpart of the rolling sentences of the eighteenth-century novel and the balanced façades of eighteenth-century architecture.

Nineteenth-century romanticism, on the other hand, demanded a whipping-up of emotions, an intensifying of all musical processes. The corridors between the "rooms" steadily shrank; modulations were ever more frequent and more daring. There came into being a hyperemotional music that wandered restlessly from key to key in accord with the need for excitement of the mid- and late-romantic era. By the same token, the balanced structure of the classical system, with its key areas neatly marked off one from the other, began to disintegrate.

Chromaticism

When seven tones out of twelve are selected to form a key, the other five become extraneous in relation to that particular Tonic. They enter the composition as transients, mainly to embellish the melody or harmony. Their status is summed up in the term *accidentals*, meaning the sharped or flatted notes that appear in the course of a piece without belonging to the prevailing key.

If the piece is to sound firmly rooted in the key, the seven tones that are directly related to the Tonic must prevail. Should the composer allow the five foreign tones—the accidentals—to become too prominent in his melody and harmony, the relationship to the key center would be weakened and the key feeling become ambiguous. The distinction between the tones that do not belong within the key area and those that do is made explicit in the contrasting terms *chromatic* and *diatonic*. "Chromatic" refers to the twelve-tone scale that includes all the semitones of the octave. Chromatic melody or harmony moves by half steps, taking in the tones that are extraneous to the key. The word comes from the Greek *chroma*, which means "color." "Diatonic," on the other hand, refers to musical progression based on the seven tones of a major or minor scale, and to harmonies that are firmly rooted in the key.

Diatonic harmony went hand in hand with the clear-cut key feeling that marked the late eighteenth-century style. We may say that the music of Haydn, Mozart, and Beethoven tends to be diatonic. (There are of course many passages in their music, especially in their late works, that belie this generalization.) Chromatic harmony, on the other hand, characterized the ceaseless modulation and surcharged emotional atmosphere of nineteenth-century music. From Schubert to Wagner and on to Richard Strauss and Mahler, the romantic and post-romantic composers indefatigably explored the possibilities of chromaticism. In an earlier section of this book we described the musical

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traits of nineteenth-century romanticism. We may now isolate its most important characteristic: the predominance of chromatic harmony.

The Key as a Form-Building Element

By marking off an area in musical space with a fixed center, the key provides the framework within which musical growth and development take place. The three main harmonies of the key—Tonic (I), Dominant (V), and Subdominant (IV)—become the focal points over which melodies and chord progressions unfold. In brief, the key is the neighborhood inhabited by a tune and its harmonies. Thus the key becomes a prime factor for musical unity.

At the same time the contrast between keys may further the cause of variety. The classical composer pitted one key against another, thereby achieving a dramatic opposition between them. He began by establishing his home key. Presently he modulated to a related key, generally that of the Dominant (for example, from C major with no sharps or flats to G major, one sharp; or from G major to D major, two sharps). In so doing he established a tension, since the Dominant key was unstable compared to the Tonic. This tension required resolution, which was provided by the return to the home key.

The progression from home key to contrasting key and back outlined the basic musical pattern of statement-departure-return. Through such a progression the movement came to do precisely what its name implied: it moved! The home key was the anchorage, the safe harbor; the foreign key represented adventure. The home key was the symbol of unity; the foreign key ensured variety and contrast.

The tension between two keys and their ultimate reconciliation became the motive power of the music of the classical era. This conflict-and-resolution found its frame in the grand form of the latter half of the eighteenth century—the ideal tone-drama known as the sonata.

CHAPTER 41

The Development of Themes: Musical Logic

> "I alter some things, eliminate and try again until I am satisfied. Then begins the mental working out of this material in its breadth, its narrowness, its height and depth."
>
> Ludwig van Beethoven

THINKING, whether in words or tones, demands continuity and sequence. Every thought must flow out of the one before and lead logically into the next. In this way is created a sense of steady progression toward a goal.

When a melodic idea, we noted, is used as a building block in the construction of a larger work it is known as a theme or subject. The theme is the first in a chain of musical situations. All of these must grow out of the basic idea as naturally as does the plant from the seed. Hence the term *germ theme,* which indicates the capacity of the initial idea to flower, to expand, and to develop in such a way as to create an effect of organic unity. The net result of this expansion and development is to make the audience feel, as they would in the case of a convincing drama or novel, that each situation is a necessary link in the chain: given this particular premise, what happens at any point is inevitable, or must seem so.

The most tightly knit kind of expansion in our music is known as *thematic development.* To develop a theme means to unfold its latent energies, to search out its capacities for growth and bring them to fruition. Thematic development represents the constructional element in music. It is one of the most important techniques in musical composition, demanding of the composer imagination, master craftsmanship, and intellectual power.

In expanding and manipulating his ideas the composer treats the tone material in the manner of the sculptor or goldsmith: he molds the material, deriving inspiration from the stuff in his hands, allowing it to dictate forms and shapes peculiar to itself. He is engaged in a kind of thinking possible only in music. In the process of development, certain procedures have proved to be particularly effective. The simplest is repetition, which may occur either at the same pitch or at another. For example, in *America,* the melodic idea on the words "Land where my fathers died" is duplicated immediately, but a tone lower, on the words "Land of the pilgrims' pride." Such a repetition on a higher or lower pitch, is, we saw, a sequence. The repetition may be either exact or with

variation in the melody, harmony, rhythm, timbre, dynamics, and register. It may be attended by expansion or contraction of the note values as well as by bold and frequent changes of key.

A basic technique in thematic development is the breaking up of the theme into its constituent fragments, the *motives*. A motive is the smallest fragment of a theme that forms a melodic-rhythmic unit. The motives are the germ cells of musical growth. Through fragmentation of themes, through repeating and varying the motives and combining them in ever fresh patterns, the composer imparts to the musical organism the quality of dynamic evolution and growth. As we watch this process of flowering and growth we experience the joy of recognizing the basic idea throughout its ever-changing manifestations.

Thematic development is too complex a technique to appear to advantage in short lyric pieces, songs, or dances. In such compositions a simple contrast between sections and a modest expansion within each section supplies the necessary continuity. By the same token, thematic development finds its proper frame in the large forms of music. To those forms it furnishes an epic-dramatic quality, along with the clarity, coherence, and logic that are the indispensable attributes of this most advanced type of musical thinking.

CHAPTER 42

The Sonata: The First Movement

> "The history of the sonata is the history of an attempt to cope with one of the most singular problems ever presented to the mind of man, and its solution is one of the most successful achievements of his artistic instincts."
>
> Hubert Parry

THE NAME sonata comes from the Italian *suonare*, "to sound," indicating a piece to be sounded on instruments, as distinct from cantata, a piece to be sung. A sonata is an instrumental work consisting of a cycle of contrasting movements, generally three or four in number. The name sonata is used when the piece is intended for one or two instruments. If more than two are involved the work is called, as the case may be, a trio, quartet, quintet, sextet, septet, octet, or nonet. A sonata for solo instrument and orchestra is called a concerto; a sonata for the whole orchestra, a symphony. The sonata cycle, clearly, accounts for a large part of the instrumental music we hear.

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Sonata-Allegro Form

The most highly organized and characteristic member of the several movements that make up the sonata cycle is the opening movement. This is in what is variously known as *first-movement form*, *sonata-allegro form*, or *sonata form*.

A movement in sonata-allegro form is based on two assumptions. The first is that a musical movement takes on direction and goal if, after establishing itself in the home key, it modulates to other areas and ultimately returns to the home key. We may therefore regard sonata form as a drama between two contrasting key areas. The "plot," the action, and the tension derive from this contrast. Sonata-allegro form, in brief, is an artistic embodiment of the principles underlying the major-minor system.

Second is the assumption that a theme may have its latent energies released through the development of its constituent motives. Most useful for this purpose is a brief incisive theme, one that has momentum and tension, and that promises more than at first sight it reveals. The themes will be stated or "exposed" in the first section; developed in the second; and restated or "recapitulated" in the third.

In a drama or novel, the various human traits—courage, cowardice, love, avarice—are presented not abstractly but as embodied in specific characters. So, too, the home key and the related key are associated with two contrasting themes. In this way the opposition between the two key areas is sharpened—dramatized, as it were—and presented to the listener as a conflict between two ideas. The contrasting themes furnish the composer with a basic store of material for expansion and development. From this he fashions an extended structure comprising areas of tension and relaxation, activity and rest, light and shade.

The first movement may open with a slow introduction that sets the stage for the allegro proper, or it may plunge directly into the allegro.

The Exposition (Statement)

The opening section, the Exposition or Statement, sets forth the two opposing themes and their respective keys. The first theme and its expansion establish the home key. A transition or bridge leads into the contrasting key; in other words, the function of the bridge is to modulate. The second theme and its expansion establish the contrasting key. A closing section or codetta rounds off the Exposition and establishes a cadence in the contrasting key. In the classical sonata form the Ex-

may be enriched by interweaving the melody with new themes. Or the original theme may itself become an accompaniment for a new melody. By combining these methods in an infinite variety of ways, the character of the theme may be changed, so that it is presented now as a funeral march, now as a serenade, folk dance, caprice, or boat song. This type of character variation was much in favor in the romantic era.

The theme with variations, like the development section in first-movement form, challenges the composer's inventiveness and craftsmanship. One understands why variation form has attracted composers for the last three hundred years. The theme and variations appeared not only as the slow movement of the sonata cycle; it might also serve as the fourth or final movement, and occasionally even as the first. Also, it was much cultivated as an independent piece, with the variations sometimes based on an idea borrowed from another composer, as in the case of Brahms's *Variations on a Theme by Handel.* In any case, the theme with variations presents a challenging manifestation of unity in diversity, and has remained one of the most engaging of the purely musical forms.

Minuet and Trio

The *minuet* originated in the French court in the mid-seventeenth century; its stately $\frac{3}{4}$ time embodied the ideal of grace of an aristocratic age. In the eighteenth century the minuet was taken over into the sonata cycle, where it served as the third movement, or occasionally the second.

Since dance music lends itself to symmetrical construction, we often find in the minuet a clear-cut structure based on phrases of four and eight measures. In tempo the minuet ranges from stateliness to a lively pace and whimsical character. As a matter of fact, certain of Haydn's minuets are closer in spirit to the village green than to the palace ballroom.

The custom prevailed in the seventeenth century of presenting two dances as a group, the first being repeated at the end of the second (A-B-A). The one in the middle was frequently arranged for only three instruments; hence the name *trio,* which persisted even after the customary setting for three was abandoned. The trio as a rule is lighter in texture and quieter of gait. Frequently woodwind tone figures prominently in this section, creating an out-of-doors atmosphere that lends it a special charm. At the end of the trio we find *da capo* or D.C. (from the beginning), signifying that the first section is to be played over again. Minuet and trio, then, is a symmetrical

three-part (A-B-A) structure in which each part in turn is a small a-b-a or ternary form.

A	B	A
a-b-a	c-d-c	a-b-a

This structure is elaborated through repetition of the subsections, a procedure that the composer indicates with a repeat sign (:||:). However, when the minuet returns after the trio the repeat signs are customarily ignored. A codetta may round off each section.

A	B	A
a:||:b-a:||:	c:||:d-c:||	a-b-a

In the nineteenth-century symphony the minuet was displaced by the scherzo. The name had made its appearance in certain quartets of Haydn and in the sonatas and symphonies of Beethoven. The scherzo is generally the third movement, occasionally the second. It is usually in $\frac{3}{4}$ time. Like the minuet, it is a three-part form (scherzo-trio-scherzo), the first section being repeated after the middle part. But it differs from the minuet in its headlong pace and vigorous rhythm. The scherzo—the name, it will be recalled, is the Italian word for "jest"—is marked by abrupt changes of mood ranging from the humorous or the whimsical to the mysterious and even demonic. In the hands of Beethoven the scherzo became a movement of immense driving force.

The Rondo

The *rondo* is a lively movement suffused with the spirit of the dance. Its distinguishing characteristic is the recurrence of a central idea—the rondo theme—in alternation with one or more subsidiary themes, as in the pattern A-B-A-B-A or A-B-A-C-A.

The true rondo as developed by the classical masters was more ambitious in scope. Characteristic was the formation A-B-A-C-A-B-A. The first A-B-A was in the nature of an exposition and the corresponding A-B-A at the end was a recapitulation. Between them was the C section, which served as a kind of development. What with contrasts of key and elaborate transitional passages, this type of rondo took on the spaciousness of sonata form and came to be known as a rondo-sonata.

Actually one may speak of rondo style as well as rondo form, for the essence of the rondo—at any rate as Haydn and Mozart cultivated it—is its vivacity and good humor. Because the theme is to be heard over and over again it must be catchy and relaxing. The rondo figured in eighteenth- and nineteenth-century music both as an independent piece

and as a member of the sonata cycle. In the sonata it served as the final movement.

The Sonata Cycle as a Whole

The four-movement cycle of the classical masters, as found in their symphonies, concertos, sonatas, string quartets, and other types of chamber music, became the vehicle for their most important instrumental music. The following outline, which sums up the common practice of the classic-romantic era, will be helpful to the reader, provided he remembers that it is no more than a general scheme and does not necessarily apply to all works of this kind. In Beethoven's Ninth Symphony, for example, the scherzo is the second movement while the Adagio comes third.

Movement	Character	Form	Tempo: Mozart: Symphony No. 40	Tempo: Beethoven: Symphony No. 5
First	Epic-dramatic	Sonata-allegro form (Sonata form)	Allegro molto	Allegro con brio
Second	Slow and lyrical. In the 19th century may range from the tragic to the whimsical.	Theme and variations Sonata form A-B-A	Andante	Andante con moto
Third	Dancelike:			
	Minuet (18th century)	Minuet and trio (A-B-A)	Allegretto	
	Scherzo (19th century)	Scherzo and trio (A-B-A)		Allegro
Fourth	Lively (18th century)	Sonata-allegro Rondo	Allegro molto	Allegro
	Triumphal: the romantic "apotheosis" (19th century)	Rondo-sonata Theme and variations		

The classical masters of the sonata thought of the four movements of the cycle as self-contained entities connected by identity of key. First, third, and fourth movements were in the home key, with the second movement in a contrasting key. The nineteenth century sought a more obvious connection between movements. This need was met by cyclical structure, in which a theme from the earlier movements appeared in the

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later ones as a kind of motto or unifying thread.

The sonata cycle satisfied the need of composers for an extended instrumental work of an abstract character. It derived its being from the nature of the instruments. It mobilized the contrasts of key and mode inherent in the major-minor system. Upon the insubstantial stuff of sound it implanted the heroic dimensions of architecture—length, width, and depth; spaciousness and symmetry. And it achieved all this according to principles deriving exclusively from the nature of sound. The sonata cycle has an epic-dramatic quality, leaving the listener with the sense of a vast action consummated, an eventful journey brought to its predestined conclusion. With its fusion of sensuous, emotional, and intellectual elements, its intermingling of lyric contemplation and action, the sonata cycle may justly claim to be one of the most ingenious art forms ever devised by man.

COMPARISON OF BAROQUE AND CLASSICAL STYLES

	BAROQUE	CLASSICAL
Texture:	Much polyphony with some homophony	Much homophony with some occasional imitative polyphony
Dynamics:	Terraced; either loud or soft changing abruptly	More expression, use of crescendo and diminuendo, gradual changes
Mood:	One mood throughout a movement or piece	Varying moods expressed in one movement or piece
Rhythm:	Relentless rhythmic drive throughout a piece-or-sometimes free rhythm All or Nothing!	Variety of rhythmic patterns within a movement or piece
Melody:	Ornamentation used Long melodic thoughts	Memorable, short balanced musical thoughts; often lyrical and expressive
Forms:	Dance suites, concerti grossi, fugues	Sonata-Allegro form Sonata Cycle (multi-movement form)
Orchestra:	Chamber orchestra, small with few wind instruments Different specification for each ensemble	Establishment of modern symphony with woodwinds, brass, percussion, strings
Ensembles:	String trios, various small random groupings	Establishment of the string quartet
Unifying Devices:	Use of Basso Continuo (the harpsichord and a bass instrument in any and ALL instrumental ensembles, including the orchestra	No harpsichord Unity within a composition through motives, themes, and musical materials themselves (relationships of keys, etc.)

THE SONATA CYCLE

Multi-Movement Form, Classical Style

The Sonata Cycle is an instrumental form, crystallized in the mid to late 18th century. It was/is the form of many symphonies, instrumental sonatas, string quartets, concerti.

Most common usage is in 4 movements:

1. Sonata-Allegro form -- FAST tempo

   May possibly begin with a slow, unrelated introduction. Virtually all Classical symphonies, concerti have this as the first movement form.

2. Various forms may be used, listed below -- SLOW tempo

   Sonata-Allegro form -or-
   Rondo form -or-
   Ternary (ABA) form -or-
   Theme and Variations form -or-
   Sonatina form

3. Minuet and Trio form -- MODERATE tempo -- TRIPLE rhythm

   adaptation of earlier dance form

   Minuet: A A B A B A ⟶ ||:A :||:B A:||
   Trio: C C D C D C
   Minuet: A B A (no repeats)
   optional Coda

4. Various forms may be used, listed below -- FAST tempo
   "fast finale"

   Sonata-Allegro form -or-
   Rondo form -or-
   Theme and Variations form -or-
   Sonata-Rondo form A B A Dev. A B A

Sonata-Allegro Form

the most important single-movement form of the Classical Era — in this instance, Allegro does not indicate tempo — this form may be slow or fast

Three large sections comprise this form:

||: Exposition :|| ||: Development Recapitulation :||

may be repeated — may be repeated

Introduction and/or Coda (ending) may be added without changing the form.

Exposition:

Theme I
- original key
- straightforward
- somewhat assertive character
- often strings

Transition
- somewhat turbulent material in which key change occurs
- full orchestra often

Theme II
- * new key
- lyrical, expressive character
- often woodwinds

Closing Section
- * new key
- may or may not include a closing theme
- often full orchestra

Development:

Theme I and Theme II are heard in many keys; there are many short sections in various textures and instrumentations.

Development ends on dominant preparation, strong anticipation of the original key and Theme I, getting the listener ready for Recapitulation.

Recapitulation:

Theme I
- original key
- straightforward
- somewhat assertive character
- same as in Exposition
- strings

Transition
- same material without key change or departing then returning to orig. key

Theme II
- * original key
- lyrical, expressive character
- woodwinds
- same as before except key is changed to original key

Closing Section
- * original key
- same as above in Exposition except key is changed to original key

The Binary Principle in Simple Binary Form

The binary principle in simple binary form is expressed most clearly through tonality. The organization of the structural units that make up Parts A and B varies from movement to movement. Some movements exhibit a clearly defined phrase structure; some do not. Thus, with reference to structural function, it can be stated only that in Part A expository material is followed by transitional (and sometimes developmental) material, and that in Part B developmental material is followed by expository (and sometimes terminative) material. The principle is exemplified in the following diagram:

Part A		*Part B*	
I	V	V	I
i	III	III	i
i	v	V	i
Phrase Group		Phrase Group	
Single Section		Single Section	
Period			
Expository	Transitional (Developmental)	Developmental	Expository (Terminative)

EXERCISES

Study the analytical model, and apply the instructions for analysis to each of the pieces.

1. Listen several times to the music provided.

2. On the score, mark the conclusion of each cadence with a bracket, and indicate its type and the key at that point. Use uppercase letters for major keys; use lowercase letters for minor keys.

3. List changes (if any) in tonality, tempo, meter, and so on that create structural phenomena.

4. Describe the organization of Parts A and B. First, answer the following questions individually in note form. Then, write a short paragraph that demonstrates your understanding of the binary principle as it applies to this piece of music.

   a. What are the important structural phenomena?

   b. What is the key and cadence scheme?

   c. How are the structural units organized (periods, phrase groups, sections, etc.)?

   d. What is the structural function of each unit?

NOTE

1. The rounding-out process begins in m. 17 in the tonic.
2. Each of the important structural divisions is articulated by one or more structural phenomena, changes in texture and dynamics being particularly significant.
3. Part B is almost four times as long as Part A.

The Binary Principle in Rounded Binary Form

As in simple binary, the binary principle in rounded binary form is most clearly expressed through tonality. The return of the tonic key, however, is associated with a return of the original melodic/thematic material, and so a motivic principle is also involved. Motive as a structural phenomenon plays a role in the perception of the design that it did not play in simple binary movements. The binary principle is expanded to some extent, too, to the unit organization of the two parts. Part A is commonly a modulating period; Part B, following a phrase or a group of phrases, often terminates with a period whose content is based upon the first one. Functionally, then, Part A is expository and transitional; Part B is developmental (transitional) and expository. The principle is exemplified in the following diagram. It should be compared with the diagram that exemplifies the principle in simple binary form (see page 68).

Part A	*Part B*	
I ----------V ||	V ----------V–I	----------I
i ----------III ||	III ----------V–i	----------i
i ----------v ||	V ----------V–i	----------i
Theme		Theme
Period	Phrase Group	Period
Expository -----	Developmental ----------	Expository
-------Transitional	(Transitional)	(Terminative)

EXERCISES

Apply the instructions for analysis to each of the following pieces. (You may wish to review the analytical model on page 69 before you begin.)

1. Listen several times to the music provided.

2. On the score, mark the conclusion of each cadence with a bracket, and indicate its type and the key at that point. Use uppercase letters for major keys, lowercase for minor keys.

II. THE CLASSICAL RONDO: GENERAL CHARACTERISTICS

The rondo of the early classical period differs little in formal design from the earlier French rondeau. The parts are still well defined, and the overall structure is usually harmonically and rhythmically sectionalized. The primary difference lies in the nature of the melodic material. The rondo is typified by more tuneful melodies—melodies that are definitely conceived as *themes.*

The music of the rondo is often lighthearted and spritely. This good-natured spirit so frequently associated with the rondo has occasionally resulted in the labeling of movements as rondos which are structurally of some other type (often sonata form or a composite part form). Thus, we sometimes refer to a "rondo style," but there are, indeed, rondos that are sombre or dramatic rather than cheery. Our major concern is with the formal design of the true rondo.

Because of the basic stylistic differences between the rococo and classical periods, terms other than *refrain* and *couplet* have more meaning for a study of the classical rondo. Rather than *refrain* we will use the term *principal theme;* instead of *couplet* we will refer to the *episode.*[2]

The *principal theme* is usually based on an easily recognizable melodic or rhythmic feature. The phrase structure is clear and regular (most often, four-measure phrases), and the theme as a whole is usually a simple part form or a period. The principal theme normally appears in the tonic key with each statement. In its first statement, at least, it is usually harmonically closed.

The *episodes* provide areas of contrast in the overall form of the rondo. An episode may be either *thematic* or *developmental* in nature. It may be based on the principal theme or on new material. Episodes occasionally embrace two or more distinct themes or sections.

The five-part and seven-part rondo designs became the most prevalent types in the classical period.[3] These patterns are diagrammed in Exs. 6-1 and 6-2, respectively.

EXAMPLE 6-1

FIVE-PART RONDO FORM

Principal Theme	Episode 1	P.T.	Ep. 2	P.T.	(Coda)
(*A*)	(*B*)	(*A*)	(*B′* or *C*)	(*A*)	
Tonic	Dom. or rel. maj.	Tonic	other related key	Tonic	(Tonic)

EXAMPLE 6-2

SEVEN-PART RONDO FORM

Principal Theme	Episode 1	P.T.	Ep. 2	P.T.	Ep. 3	P.T.	(Coda)
(*A*)	(*B*)	(*A*)	(*C*)	(*A*)	(*B′* [or *D*])	(*A*)	
Tonic	Dom. or rel. maj.	Tonic	other related key	Tonic	Tonic	Tonic	(Tonic)

Recurrence of the principal theme is the chief unifying feature of the rondo. In this respect the rondo is formally related to three-part form where recurrence is also the primary unifying feature.

2. The principal theme of the rondo may also be referred to as the *rondo theme;* the episodes may be called *digressions* or *subordinate themes.*

3. Rondos comprising more than seven parts are somewhat rare. For an example of a nine-part rondo, see the last movement of Mozart's *Sonata,* K. 281, and for an example of an 11-part rondo, the last movement of Schubert's *Sonata,* Op. 42.

During the classical period the size of the rondo expanded and the form evolved into a more continuous structure. The connection of successive units by transitions, which create both rhythmic and harmonic continuity, became an important element. In addition, a greater number of parts are left harmonically open in most of the later examples by Haydn and Mozart and in practically all of the examples by Beethoven and Schubert.

Although rondos have been composed as independent movements, the most familiar use of the form is in the finales of multimovement works based on the three- or four-movement sonata plan (sonatas, quartets, concertos, symphonies, etc.). Because the classical composers typically retained the lively and tuneful spirit of earlier rondos and avoided the temptation to introduce complex ideas requiring extended "working out" processes, the form is ideally designed to bring a multimovement work to a solid and satisfying conclusion. The returns of the sprightly principal theme and the outward clarity of the form provide a structure that is easily assimilated by the listener.[4]

VII. THE FIVE-PART RONDO

The five-part rondo may take one of two forms, alike in general shape, but differing as to the nature of the second episode. Here, once again, is the basic outline of the form (Ex. 6-10).

EXAMPLE 6-10

FIVE-PART RONDO FORM

Principal Theme	Episode 1	P.T.	Ep. 2	P.T.	(Coda)
(A)	(B)	(A)	(C or B´)	(A)	
Tonic	Dom. or rel. maj.	Tonic	other related key	Tonic	(Tonic)

In the five-part rondo with similar episodes (A B A B´ A), both episodes use similar thematic material, the second being a transposition or variation of the first. The design with contrasting episodes (A B A C A) is encountered more often. The episodes in this scheme either consist of contrasting thematic material or differ in the manner of treatment (thematic as opposed to developmental). The two episodes are contrasting in character, though they may share common motivic material. In fact, all parts of a rondo may contain common motivic material, as the Mozart example we examined earlier (Anthology, No. 9) demonstrates.

The basic design of the five-part rondo is quite simple, but the variety of formal treatments possible within the two basic patterns seems almost inexhaustible. A diagram of the last movement of the *Symphony No. 94* (the "Surprise") illustrates this point (Ex. 6-11).

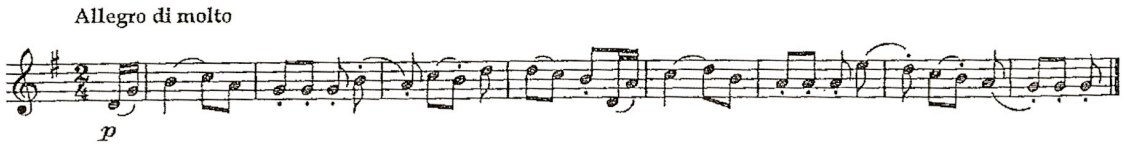
EXAMPLE 6-11 Haydn, *Symphony No. 94*, IV

P. T.					Ep. I	P. T.					Ep. II	Coda
A	B	A	C*	A (brief)	D trans. (dominant)	A	C*	A (extended and developed)	B	A (brief)	D (tonic)	A, 1st motive

*Section C is developmental, based on a rhythmic motive from Section A.

Haydn is anything but stingy about letting us hear the head of the main theme in this finale. In fact, on paper it looks as though the novelty of the principal theme might wear off before the movement is over, but this is far from the case. To begin with, A is a catchy, good-spirited tune (Ex. 6-12).

EXAMPLE 6-12 Haydn, *Symphony No. 94*, IV, mm. 1–8



It is Haydn's adroit handling of this attractive principal theme that keeps us interested. Besides the expected developmental devices (modulation, brief changes of mode, etc.), we find an unusual rearrangement of the parts in the return of the five-part principal theme: A C′ A B A instead of A B A C A. The new interrelationships created by this reordering of parts whet our appetite for each new event in the unfolding scheme of the movement. After the episode makes its second appearance, Haydn combines the coda with one last, brief fling at the principal theme's first motive before bringing the movement to a spirited conclusion.

VIII. THE SEVEN-PART RONDO

Look once again at the broad outlines of the seven-part rondo form (Ex. 6-13).

EXAMPLE 6-13

Principal theme	Episode 1	P.T.	Ep. 2	P.T.	Ep. 3	P.T.	(Coda)
(*A*)	(*B*)	(*A*)	(*C*)	(*A*)	(*B′* [or *D*])	(*A*)	
Tonic	Dom. or rel. maj.	Tonic	Other related key	Tonic	Tonic	Tonic	(Tonic)

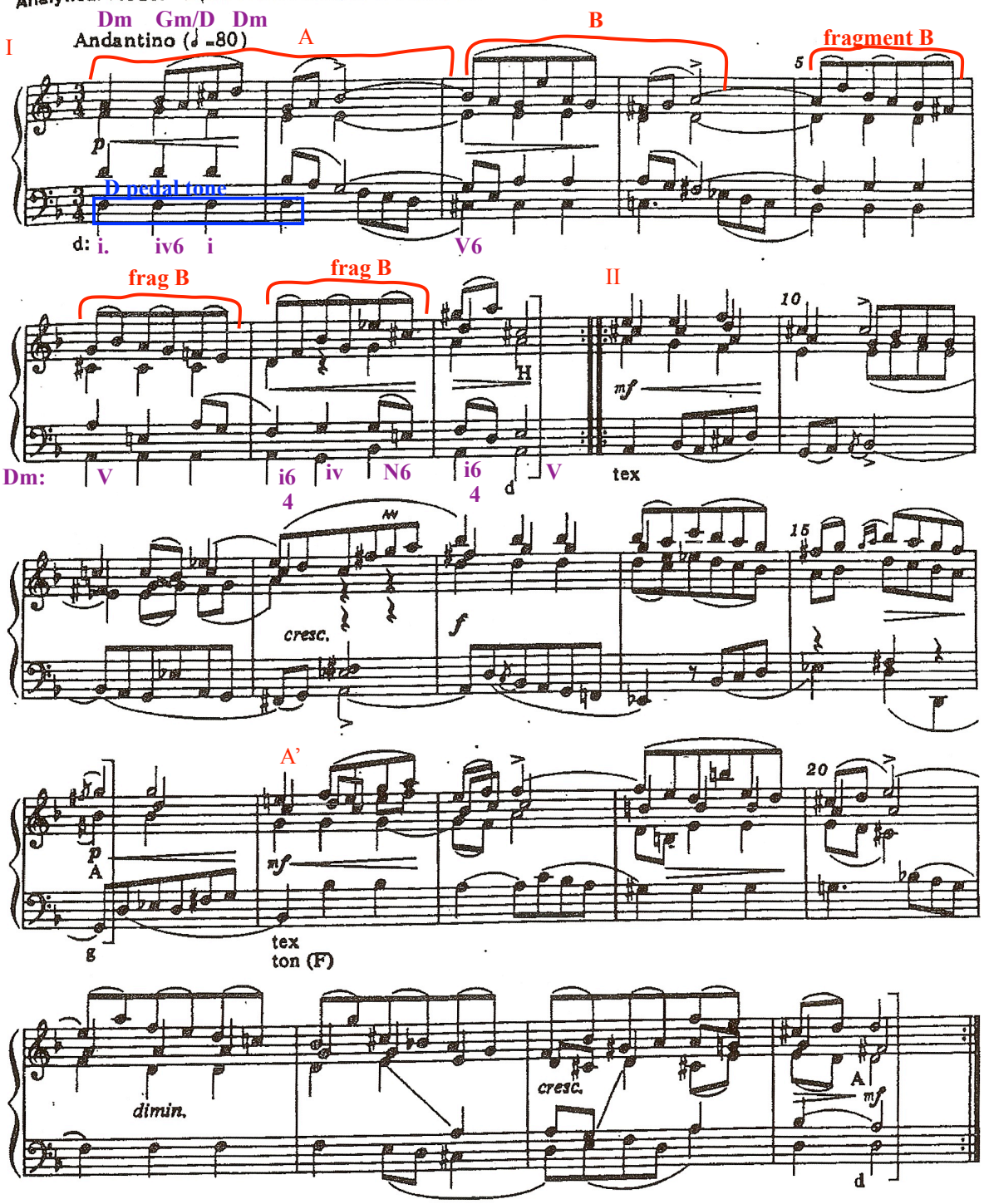
In this design, the first episode normally returns as episode three, a relationship reminiscent of the five-part rondo with similar episodes (A B A B′ A). Here the main distinction is one of key: the first episode is usually in a key closely related to the tonic (often dominant or relative major), whereas the third is ordinarily in the tonic. Hence, the third episode is usually a transposition of the first. These two episodes are more often thematic than developmental in nature.

The second episode falls in the middle of the seven-part rondo design and is often the longest section of the rondo. If a change of tempo occurs in the rondo, it will likely be in the second episode. While the first and third episodes are usually thematic in content, the second episode frequently treats its material developmentally. When this is the case, there is a similarity between the seven-part rondo form and sonata form. A seven-part rondo of this sort is often referred to as a *sonata-rondo*. More will be devoted to this subject in Chapter 9.

The seven-part rondo comprising three contrasting episodes (A B A C A D A) is relatively rare. The Mozart *Rondo*, K. 494 and the last movements of Weber's *Sonatas*, Op. 24 and 49 exemplify this form. The basic design of the seven-part rondo is straightforward and uncomplicated, but in the details of individual examples of the form we find an almost infinite variety of designs.

1

Analytical Model Bach: French Suite in D minor, Sarabande

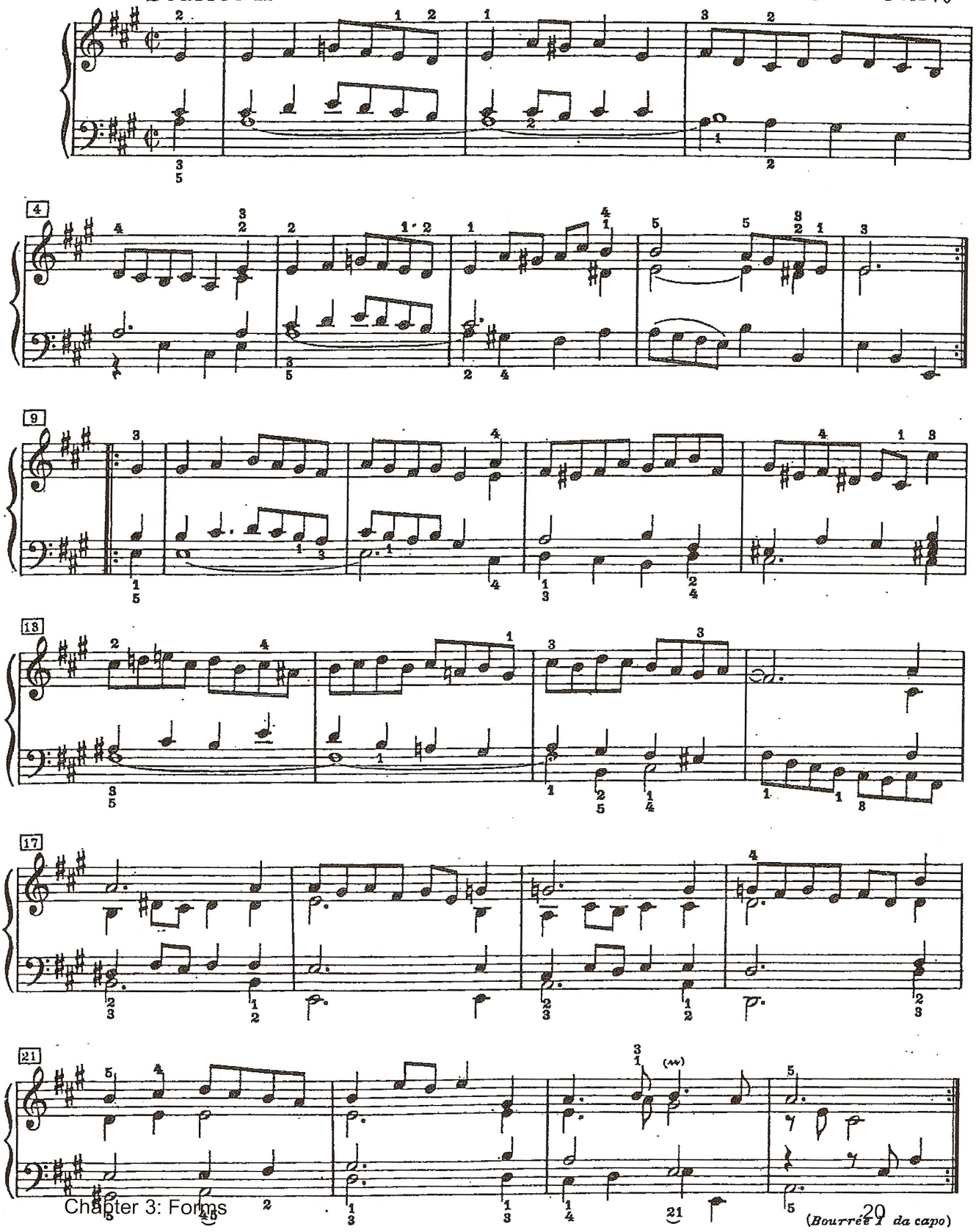


Pogorolich, Bach English Suite Now. 2 in Am; Deutche Grammophon recording from 1986; 22:25
https://youtu.be/BojPbhE816c

(2) English Suite No. 2 in A minor

Bourrée II

J. S. Bach



Edition Peters 11596

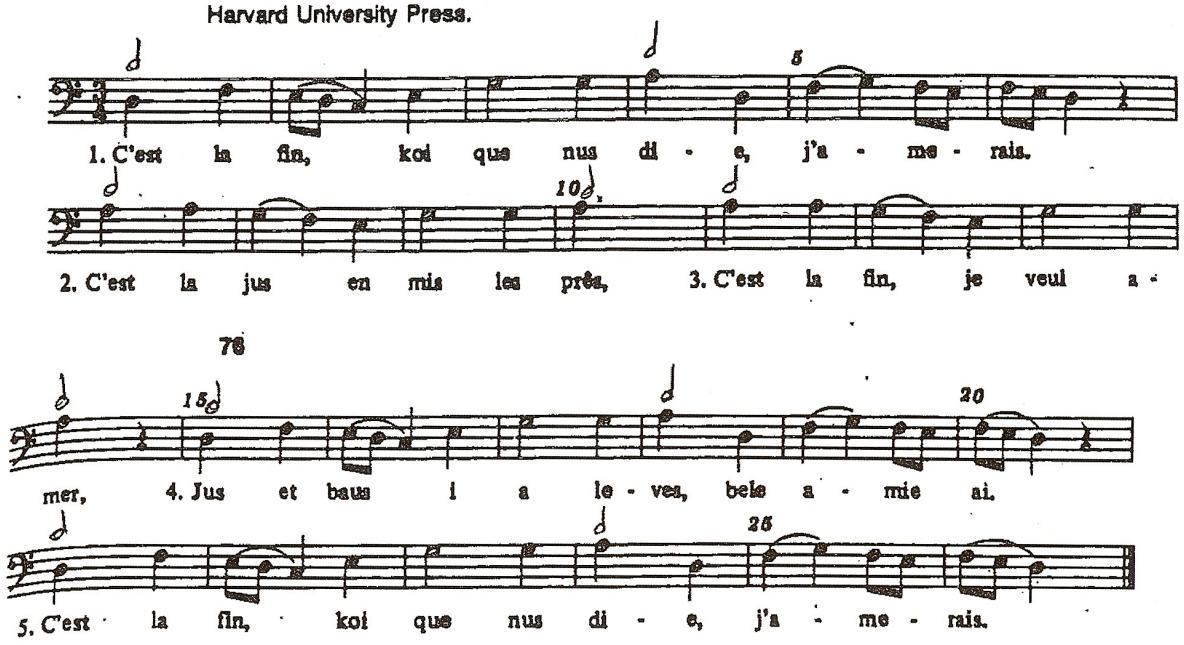
3

INTRODUCTION

The ternary principle is fundamentally one of *statement, contrast,* and *restatement.* Thus, it is embodied in pieces of music that are divided into three main parts, the second of which is perceived as differing substantially from similar first and third parts. The parts of standard ternary movements are labeled A-B-A.

Like the binary principle, the ternary principle may be perceived in music spanning several hundred years. Two early examples follow.

Example 5.1 "C'est la fin" (Virelai), twelfth century (?). From *Historical Anthology of Music,* Vol. I. Copyright © 1946, 1949 by the President and Fellows of Harvard College; renewed 1974 by Alice D. Humez and Willi Apel. Reprinted by permission of Harvard University Press.



The first phrase of Example 5.1, reaching a cadence on D in m. 6, represents *statement* in this small ternary design.

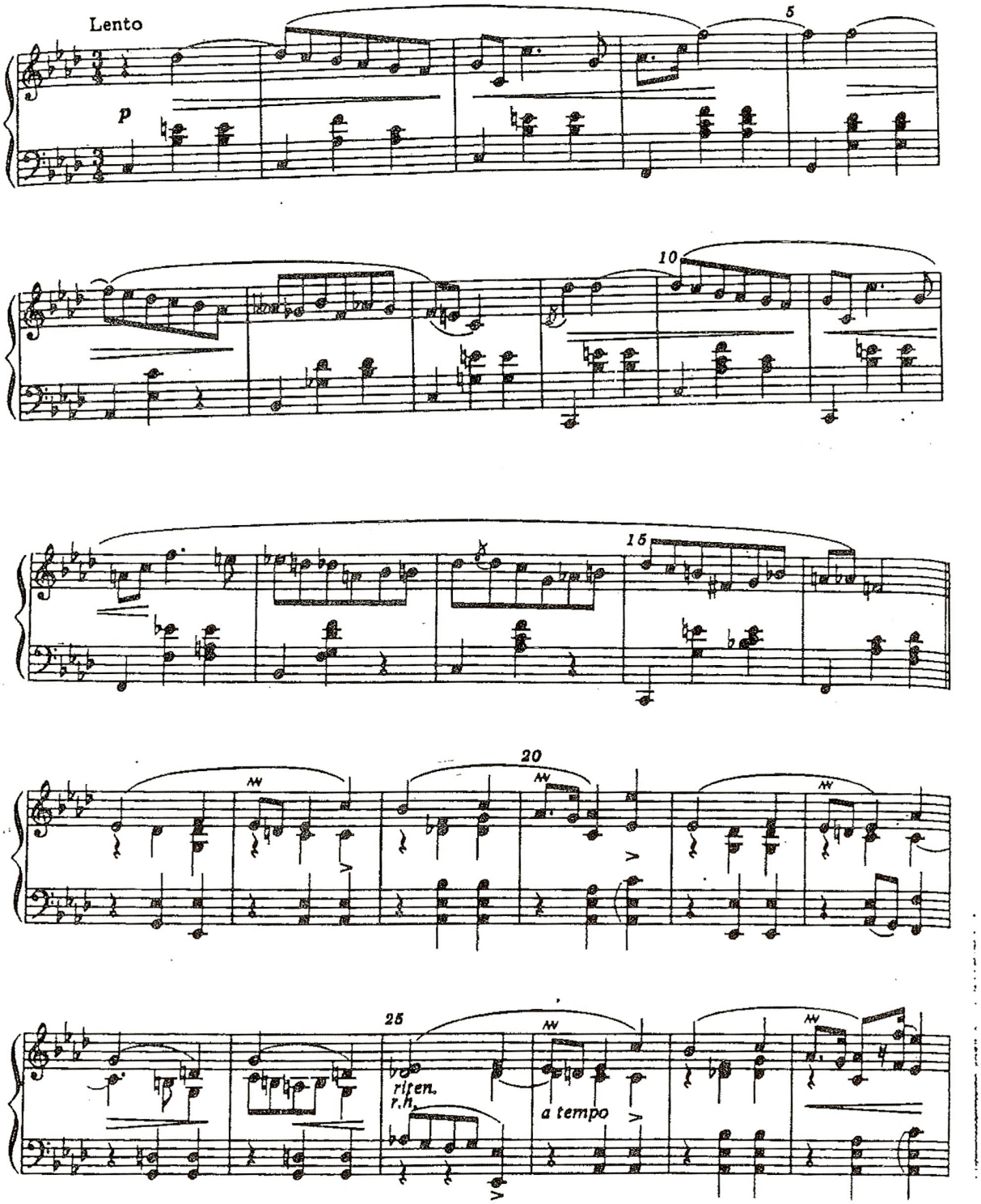
Contrast, perceived both in the length of the phrases and in a tonal emphasis on A, is provided by the music that accompanies the second and third lines of the poetry.

Restatement is heard as the first phrase (repeated) is used for the fourth and fifth lines of poetry.

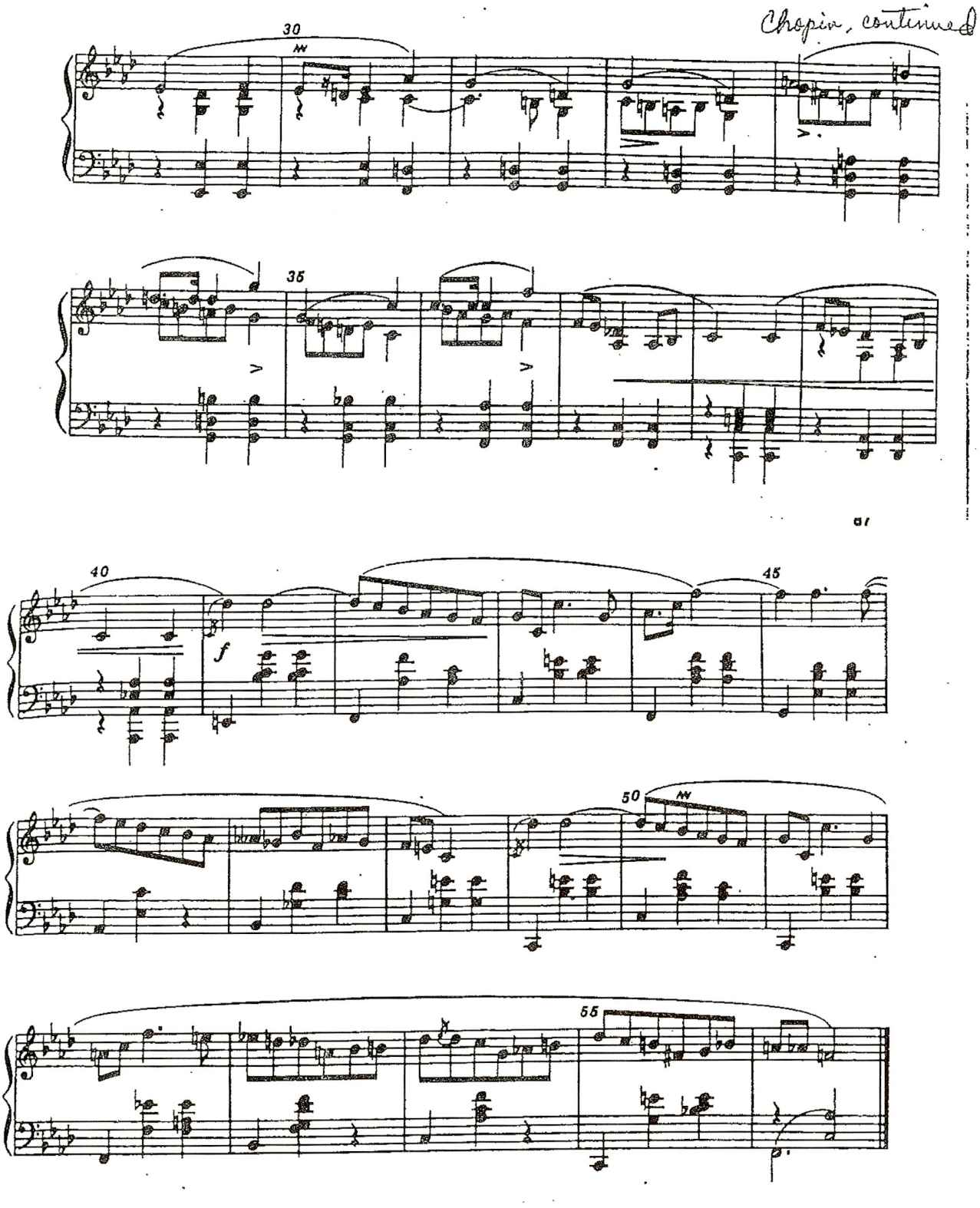
The ternary design of Example 5.2 may be perceived both aurally and visually.

(4)

Example 5.5 Chopin: Mazurka in F minor, Op. 63, No. 2



Chopin, continued



5 II. Allegretto Sonata in C# minor, Op. 27 No. 2 L. v. Beethoven

La prima parte solamente una volta

p

10

18

cresc. sf p

27

cresc. sf p

Fine

37

Trio

sf sf (sf) sf sf sf

fp

*) p

pp

48

fp fp

cresc. p

Allegretto D. C.

*) In T. 37, 41, 49, 53 steht das *fp* in der Eigen-

*) In bars 37, 41, 49 and 53 of autograph *fp*

Piano Sonata No. 1 in F minor

Op. 2, No. 1, first and third movements *(1795?)*

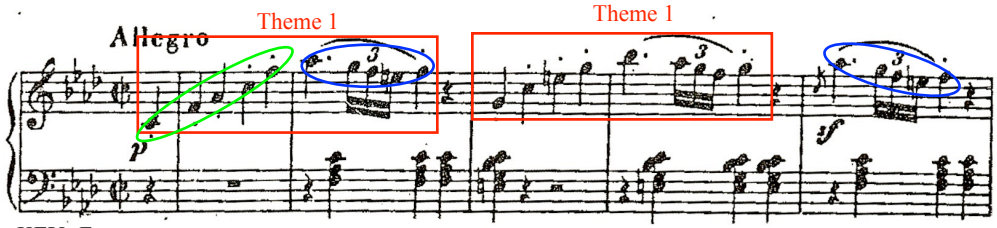
Ludwig van Beethoven *(1770–1827)*

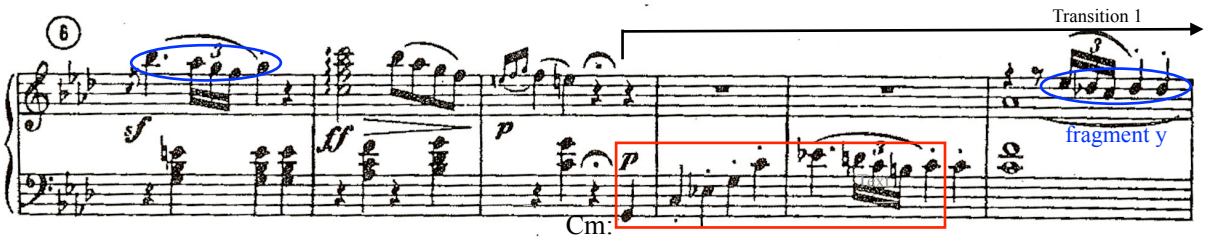
Beethoven's 32 piano sonatas, a cornerstone of the Classical repertoire, illustrate each stage of the composer's creative life. Their study will greatly reward not only those who play them, but all who take interest in music and its structure. In examining the following movement, consider the thematic design, the sections of the form, and the broad tonal structure. At a later stage of study you might consider motivic relationships such as that between bars 2 and 140–142: The later bars describe an enlargement of the former. Similarly, the descent C-B♭-A♭-G-F-E♭, first appearing in bars 7–8, will be found in enlarged and elaborated form elsewhere in the movement.[6] What is the dramatic effect of these enlargements?

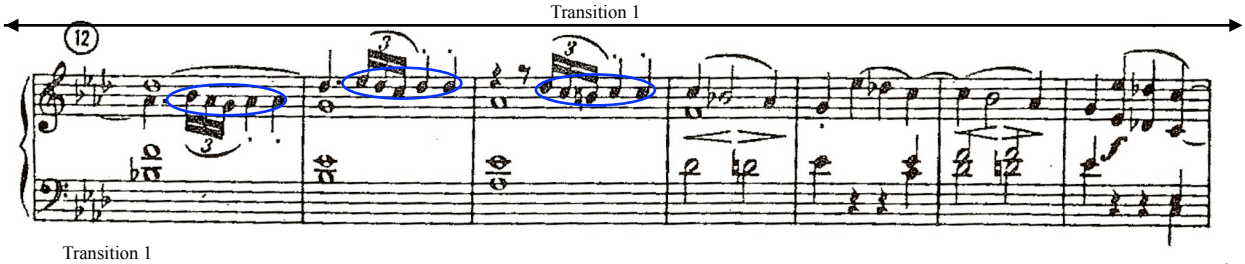
Exposition

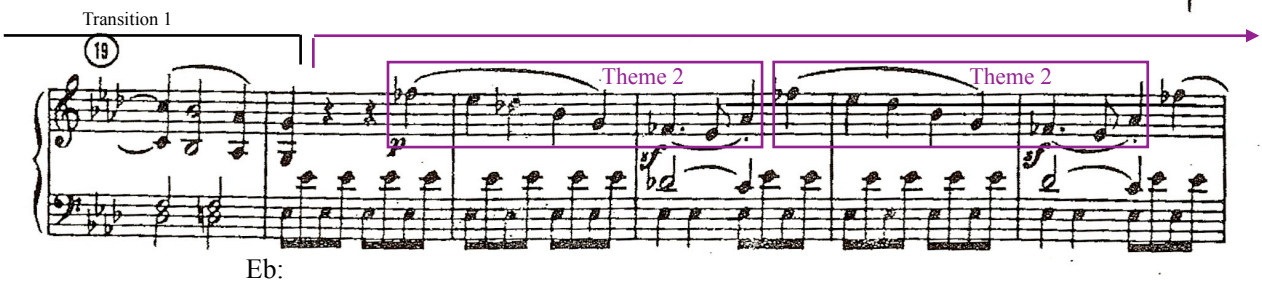
First Movement

Theme 1
motive x
motive y



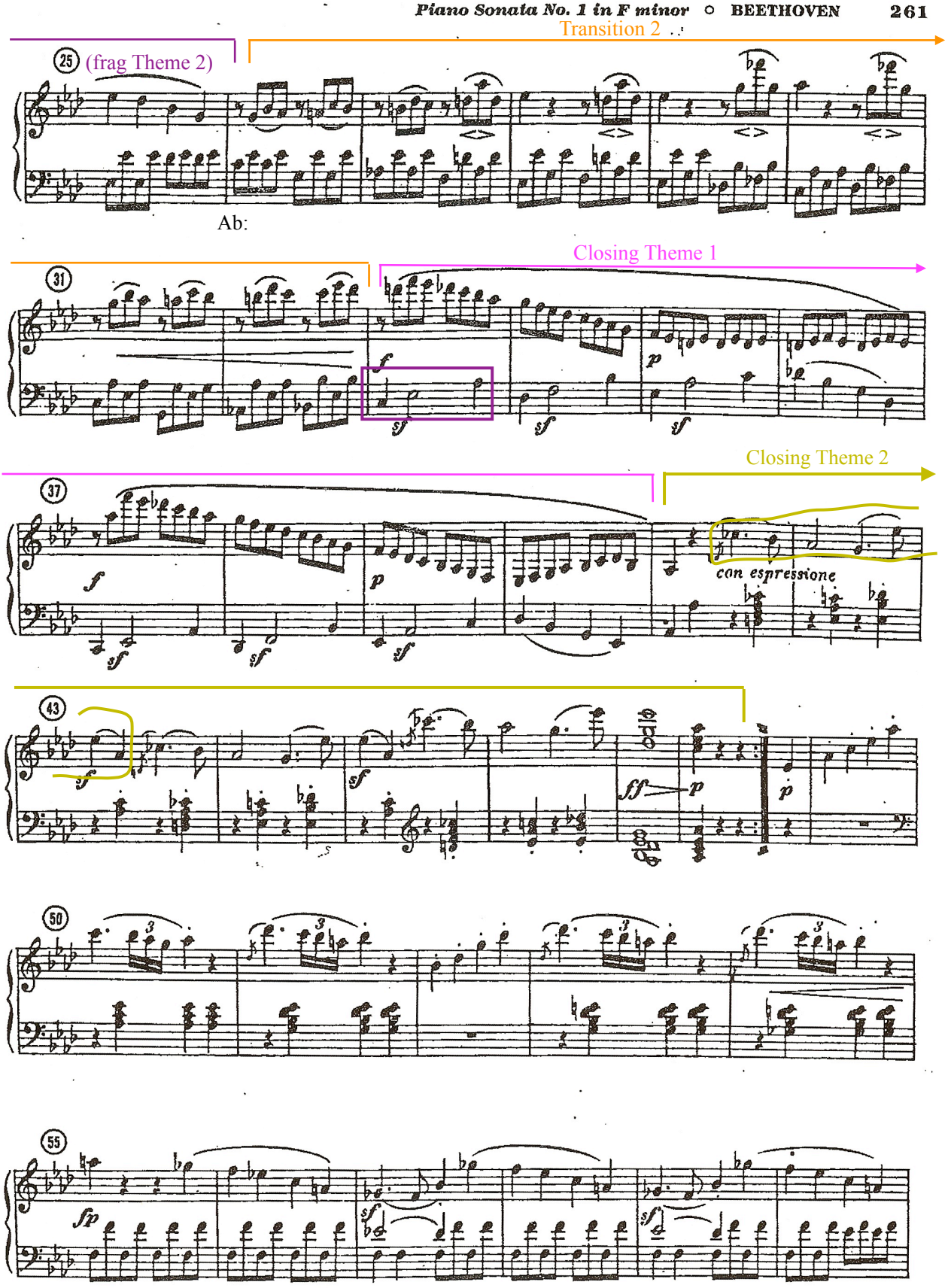


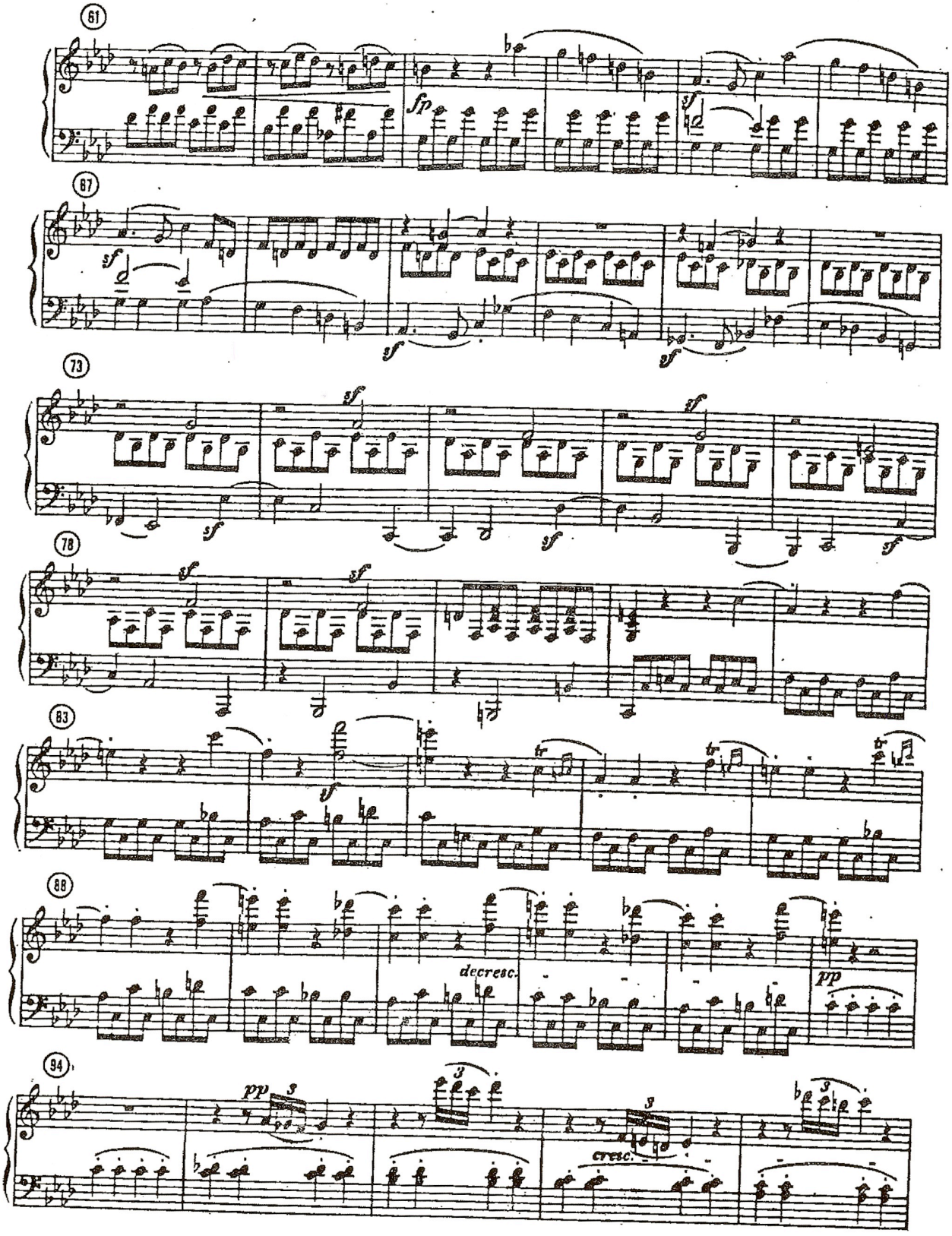


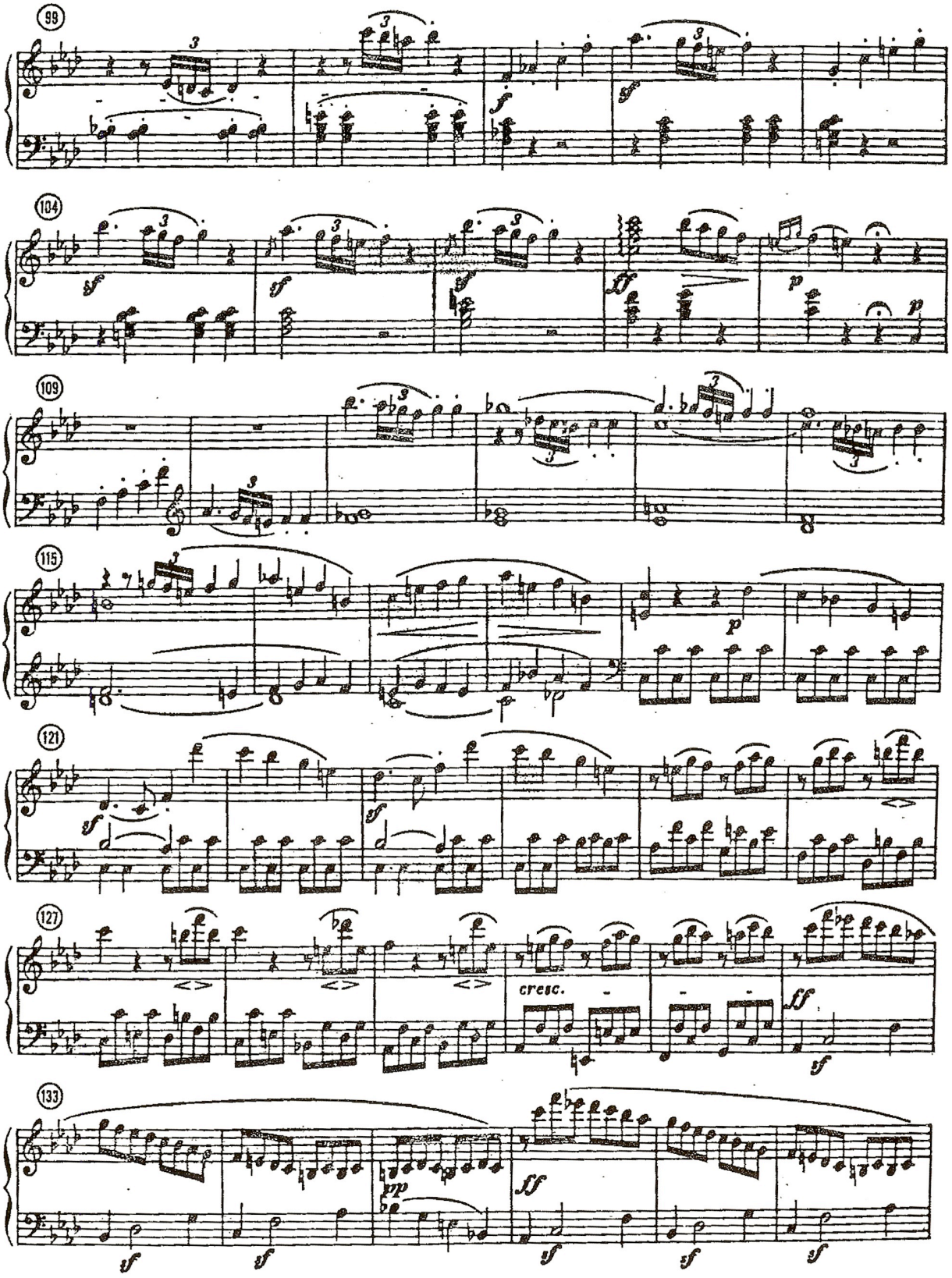


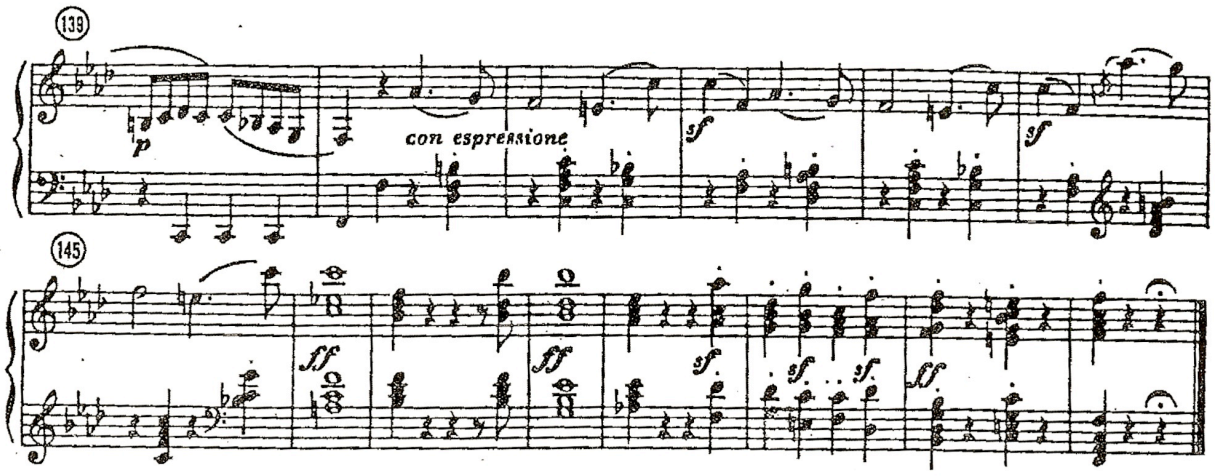
[6]Heinrich Schenker analyzes the entire sonata in the second volume of *Der Tonwille, op. cit.* For a discussion of his analysis see Charles Burkhart, "Schenker's 'Motivic Parallelisms,'" *Journal of Music Theory*, Vol. 22, 1978, p. 159f.

Each movement of all 32 sonatas receives detailed description in Donald Francis Tovey's *Companion to Beethoven's Pianoforte Sonatas* (London: R.A.M. and R.C.M., 1931).


Transition 2
25
(frag Theme 2)
Ab:
Closing Theme 1
31
Closing Theme 2
37
con espressione
43
50
55


61
fp
sf
67
sf
sf
sf
73
sf
sf
sf
sf
78
sf
sf
83
sf
88
decresc.
pp
94
pp
cresc.


99
104
109
115
121
127
133
cresc.


139
p
con espressione
sf
sf
145
ff
ff
sf
sf
sf
sf

7

A German Requiem

J. Brahms

IV.

Con moto moderato.

Soprano. *p* How love - ly

Alto *p* How love - ly

Tenor. *p* How love - ly

Bass. *p* How love - ly

Con moto moderato. (♩ = 92.)

Fl. Cl. *p dolce*

Piano.

is Thy dwell - ing - place, O Lord of Hosts, O Lord of

is Thy dwell - ing - place, O Lord of Hosts, O Lord of

is Thy dwell - ing - place, O Lord of Hosts, O Lord of

- ly is Thy dwell - ing - place, O Lord of Hosts, O Lord of

Hosts, Thy dwell - ing - place, O Lord

Hosts, Thy dwell - ing - place, O Lord

Hosts, Thy dwell - ing - place, O Lord

Hosts, Thy dwell - ing - place, O Lord of

Fl. Ob.

7

A

of Hosts!

of Hosts!

of Hosts! *p espress.* How love - - -

Hosts, O Lord of Hosts!

Viol. A *p espress.*

- - ly is Thy dwell - ing - place, O Lord of Hosts!

p espress. How love -

p espress. How love - - - - ly is Thy dwell - ing-place, O

p espress. How love - - - ly is Thy dwell - ing-place, O

How love - - - ly is Thy dwell - ing-

- - - - - - ly is Thy dwell - ing-place, O

Lord of Hosts! For my soul,

Lord of Hosts! For my soul,

place, O Lord of Hosts! For my soul,

Lord of Hosts! For my soul,

p

cresc. it

cresc. it long- eth, yea,

cresc. it long- eth, yea, faint-eth, it long-

cresc. it longeth, yea, fainteth, it long-eth, yea, faint-eth, it long - -

cresc.

f *p* long-eth, yea, fainteth, yea, faint - eth for the courts

f *p* faint-eth, it longeth and faint - - eth for the courts

p eth, and faint - - - eth for the courts

f *p* eth, and faint - eth, faint - eth for the courts

f *p*

B

of the Lord; my soul and

of the Lord; my soul and

of the Lord; my soul and

of the Lord; my soul and

B

bod - y cri - eth out, yea, for the liv - - - ing

bod - y cri - eth out, yea, for the liv - ing God,

bod - y cri - eth out, yea, for the liv - ing God,

bod - y cri - eth out, yea, for the liv - ing God,

God, cri - eth out,

my soul and bod - y cri - eth out, yea, for the

my soul and bod - y cri - eth out, yea, for the

my soul and bod - y cri - eth out,

yea, for the liv - - - - ing God.

liv - ing, yea, for the liv - - - - ing God.

liv - - - ing, yea, for the liv - - - ing God.

yea, for the liv - - - ing, yea, for the liv - ing God.

How love - ly is Thy

How love - ly is Thy

How love - ly is Thy

How love - ly is Thy

dwell - ing - place, O Lord of Hosts, O Lord of Hosts,

dwell - ing - place, O Lord of Hosts, O Lord of Hosts,

dwell - ing - place, O Lord of Hosts, O Lord of Hosts,

dwell - ing - place, O Lord, O Lord of Hosts, O Lord of Hosts,

Thy dwell - ing - place, O Lord

Thy dwell - ing - place, O Lord

Thy dwell - ing - place, O Lord

Thy dwell - ing - place, O Lord of Hosts, O

of Hosts! Blest are

of Hosts! Blest are

of Hosts! Blest are

Lord of Hosts! Blest are

p legato espr.

they, O blest are they that

they, O blest are they that

they, O blest are they that

they, O blest are they that

cresc. *f*

dwell with - in Thy house; they praise Thy name ev - er

dwell, that dwell with - in Thy house; they

dwell, that dwell with - in Thy house;

dwell, that dwell with - in Thy house; they praise Thy name ev - er -

more, they praise Thy

praise Thy name ev - er - more, ev - er - more, ev - er, ev - er - more, ev - er - more,

they praise Thy name ev - er - more, praise Thy name, praise Thy name ev - er - more, they

more, they praise Thee, they praise Thee, they praise Thee, they praise Thy

name, they praise Thy name ev - er - more, ev - er - more,

they praise Thy name ev - er - more,

praise Thy name ev - er - more, they praise Thy

name, they praise Thy name ev - er - more, ev - er - more, they praise Thy

they praise Thee, they praise Thee,
they praise Thy name ev - er - more, they praise Thee, they praise
name ev - er - more, they praise Thy name ev - er - more, they praise Thee, they praise Thee,
name ev - er - more, they

they praise Thee, they praise Thy name ev -
Thee, they praise Thee, praise Thy name ev -
they praise Thee, they praise Thee, they praise Thee for ev -
praise Thee, they praise Thee, they praise Thee, they praise Thy name ev -

- er - more! How love - ly, how
- er - more!
- er - more! How love - ly, how
- er - more!

p dimin. *pp* *p dolce* *p espress.*

love - ly, *p dolce*
How love - ly, how love - ly, how love -
love - ly, *p dolce*
How love - ly, how love - ly, how love -

how love - ly is Thy
ly, how love - ly, how love - ly is Thy
how love - ly is Thy
ly, how love - ly, how love - ly is Thy

cresc. *leguto*

dwell - ing-place.
dwell - ing-place.
dwell - ing-place.
dwell - ing-place.